Chapter 4: Managing Your Agency’s Hierarchy

OTCnet Participant User Guide

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Audience, Overview and Topics

Audience

The intended audience for the *Managing Your Agency's Hierarchy Participant User Guide* varies by system. Please note the intended audience by system you are capturing or processing on:

Deposit Processing

- Accounting Specialist
- Local Accounting Specialist (refer to Chapter 1 for permission details)
- Viewer (View their organization's hierarchy endpoint only)

Check Capture and Check Processing

- Check Capture Administrator
- Check Capture Supervisor (refer to Chapter 1 for permission details)

Overview

Welcome to *Managing Your Agency's Hierarchy*. In this chapter, you will learn:

- The purpose of organizational hierarchy
- How to add lower level endpoints to the highest level of an organization hierarchy
- How to add additional lower level endpoints/ add financial institution relationship to a hierarchy that was previously defined
- How to make changes to OTC Endpoints
- How to delete OTC Endpoints
- How to view OTC Endpoints

Topics

This chapter is organized by the following topics:

1. Purpose of the Organizational Hierarchy
2. Creating an Organizational Hierarchy
3. Managing the Organizational Hierarchy

Topic 1. Purpose of the Organizational Hierarchy

As your agency's **Accounting Specialist (AS), Local Accounting Specialist (LAS)**, and **Check Capture Administrator (CCA),** you are responsible for identifying the organizational structure for your agency's deposits and check capture settings. This organizational structure is called a hierarchy. Creating this hierarchy accomplishes three things:

- An organization's hierarchy describes the relationships and reporting structures between **OTC Endpoints** within your organization that create or submit deposits in OTCnet
- Defines the content of the reports that individuals may run based on their **OTC Endpoints** within the hierarchy
- The creation of the hierarchy enables staff to create deposits and pull reports on all appropriate **OTC Endpoints** in the organization

You will work with your management to determine the desired hierarchy, and then use the OTCnet tools provided to define that hierarchy in OTCnet.

The organizational hierarchy you create contains specific **OTC Endpoints** from which **Deposit Preparers** may create deposits and **Check Capture Operators** may scan checks. These locations are called **OTC Endpoints**. You are responsible for indicating which locations in the hierarchy are **OTC Endpoints**, and how deposits at **OTC Endpoints** should be handled. A **Deposit Processing** endpoint will be indicated with a **(TGA)** next to the endpoint, and a **Check Capture** endpoint is indicated with a **(CHK)** next it.

Topic 2. Creating an Organizational Hierarchy

Once your High Level Agency Support (HLAS) has entered your organization into OTCnet, you are responsible for entering your organizational hierarchy. As part of your setup process, the HLAS creates the highest level of your hierarchy for you; you add to that hierarchy according to your organization's needs. The highest level of your organization cannot be a depositing endpoint.

You may create as many lower levels in your hierarchy as you need, with as many **OTC Endpoints** in each level as you need.

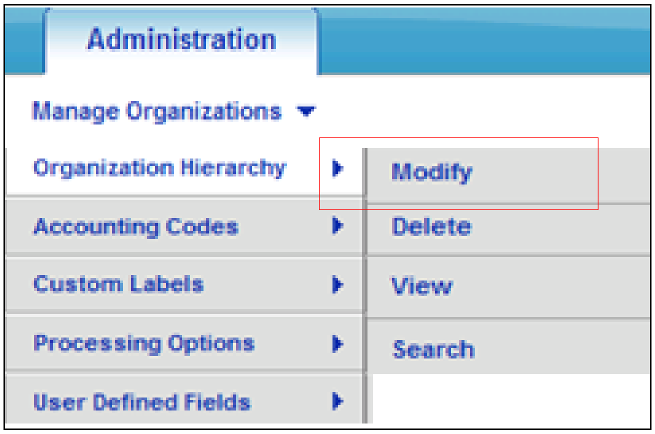
You may edit your hierarchy as desired by updating the information for each **OTC Endpoint** you create. You may delete an **OTC Endpoint** from which no deposit has been made, but may not delete an **OTC Endpoint** once a deposit has been made from that **OTC Endpoint**. **OTC Endpoints** may not be deleted after a deposit has been made because historical information about that deposit would also be deleted, creating inaccurate reporting.

Your organization's hierarchy is accessible by selecting the **Administration** tab and then the **Manage Organization** menu option.

Add an OTC Endpoint

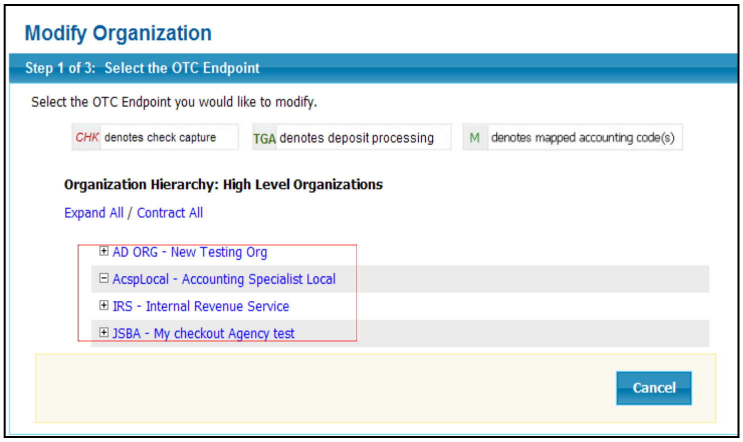
1. Click the **Administration** tab. Click **Manage Organization** and select **Organization Hierarchy** and click **Modify** (see Figure 1 below).

Figure 1. Select Organization Hierarchy>Modify


Administration
Manage Organizations
Organization Hierarchy
Accounting Codes
Custom Labels
Processing Options
User Defined Fields
Modify
Delete
View
Search

2. *The Step 1 of 3: Select an OTCnet Endpoint* page appears. Select your organization's **OTC Endpoint** as it appears in the list (see Figure 2 below).

Figure 2: Select the OTC Endpoint page



Modify Organization

Step 1 of 3: Select the OTC Endpoint

Select the OTC Endpoint you would like to modify.

CHK denotes check capture

TGA denotes deposit processing

M denotes mapped accounting code(s)

Organization Hierarchy: High Level Organizations

⊞ AD ORG - New Testing Org

⊟ AcspLocal - Accounting Specialist Local

⊞ IRS - Internal Revenue Service

⊞ JSBA - My checkout Agency test

3. The Step *2 of 3: Update OTC Endpoint Information* page appears.

   As shown in Figure 3 below, check the **Add lower levels to this OTC Endpoint** check box. In the table that appears you can add new **OTC Endpoints** that fall in the level under the current **OTC Endpoint**.

   Enter the Lower Level OTC Endpoint(s)'s **Short Name(s)** and **Description(s)** and then click **Next**. The **Short Name** and **Description** field provide an abbreviation and a full description, respectively, of the **OTC Endpoint** you are adding.

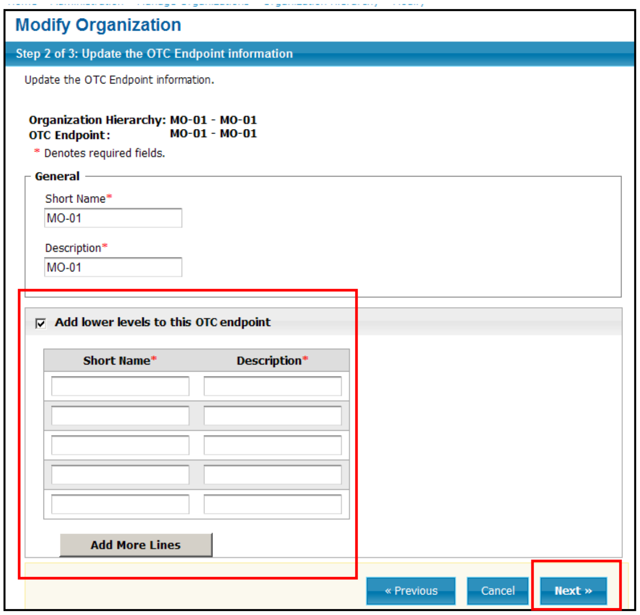
Application Tip

Short name(s) are user-defined text describing an organization. Short names must be unique within an organization hierarchy (e.g. Short name: IRS; Description: Internal Revenue Service).

Application Tip

Do not include the following special characters in the **Short Name** field: **&** (ampersand), \ (*back slash*), **'** (*apostrophe*), or **@** (*at sign*). OTCnet will accept these special characters; however, entering these special characters will cause processing problems. Special character limitations apply to all levels in the hierarchy.

Figure 3: Update the OTC Endpoint Information page



Modify Organization

Step 2 of 3: Update the OTC Endpoint information

Update the OTC Endpoint information.

Organization Hierarchy: **MO-01 - MO-01**
OTC Endpoint: **MO-01 - MO-01**

* Denotes required fields.

General

Short Name*: MO-01

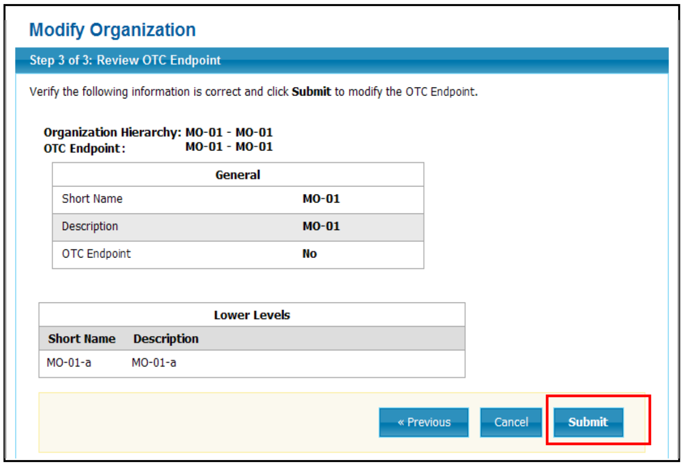
Description*: MO-01

☑ **Add lower levels to this OTC endpoint**

Short Name*	**Description***

4. The *Step 3 of 3: Review OTC Endpoint(s)* page appears. Review and verify the OTC Endpoint details and click **Submit** (see Figure 4 below). A confirmation page appears showing the **OTC Endpoint** has been modified (added lower level OTC Endpoint).

Figure 4: Review OTC Endpoint page



Modify Organization

Step 3 of 3: Review OTC Endpoint

Verify the following information is correct and click **Submit** to modify the OTC Endpoint.

Organization Hierarchy: **MO-01 - MO-01**
OTC Endpoint: **MO-01 - MO-01**

General	
Short Name	**MO-01**
Description	**MO-01**
OTC Endpoint	**No**

Lower Levels	
Short Name	**Description**
MO-01-a	MO-01-a

Add an OTC Endpoint from the Highest Level of an Organizational Hierarchy

To add an OTC Endpoint from the highest level of an organization hierarchy, complete the following steps:

1. Click the **Administration** tab.
2. From the **Manage Organization** menu, select **Organization Hierarchy** and click **Modify**. The *Step 1 of 3: Select an OTC Endpoint* page appears.
3. Select your OTC Endpoint that appears in the list. The *Step 2 of 3: Update OTC Endpoint Information* page appears.
4. Check the **Add lower levels to this OTC Endpoint**
5. Enter the Lower Level OTC Endpoint's **Short Name(s)** and **Description(s)** and click **Next**.

Application Tip

Short name(s) are user-defined text describing an organization. Short names must be unique within an organization hierarchy (e.g. Short name: IRS; Description: Internal Revenue Service).

Application Tip

Do not include the following special characters in the **Short Name** field: **&** (ampersand), \ (*back slash*), **'** (*apostrophe*), or @ (*at sign*). OTCnet will accept these special characters; however, entering these special characters will cause processing problems. Special character limitations apply to all levels in the hierarchy.

6. In the *Step 3 of 3: Review OTC Endpoint(s)* page, review and verify the OTC Endpoint details and click **Submit**. A confirmation page appears showing the OTC Endpoint has been modified (added lower level OTC Endpoint).

Application Tip

Additional buttons on the page help you perform other tasks:

- Click **Add More Lines** to insert additional rows to the table, to input additional agency accounting codes.
- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Previous** to return to the previous page.
- Click **Return Home** to return to the OTCnet Home Page.

Topic 3. Managing the Organizational Hierarchy

Once you have performed initial setup of your organizational hierarchy, you can add to it and adjust it to suit your needs by performing the following tasks:

- Add a lower level to existing an OTC Endpoint
- Modify OTC Endpoint Information
- Delete an OTC Endpoint
- View an OTC Endpoint

Note: Before a user can be provisioned to a deposit processing OTC Endpoint **(TGA)** in ITIM, ensure the **Allow OTC Endpoint to create deposits for over-the-counter collections** check box is checked.

Before a user can be provisioned to a check capture OTC Endpoint **(CHK)** in ITIM, ensure the **Enable Check Capture** check box is checked.

If the **Allow OTC Endpoint to create deposits for over-the-counter collections** check box and/or the **Enable Check Capture** check box is not checked when modifying OTC Endpoint Information, you will not be able to provision the user to the appropriate OTCnet Endpoint. Refer to the Chapter 4: *Managing Your Organization Hierarchy* user guide for more details about managing your organization's hierarchy.

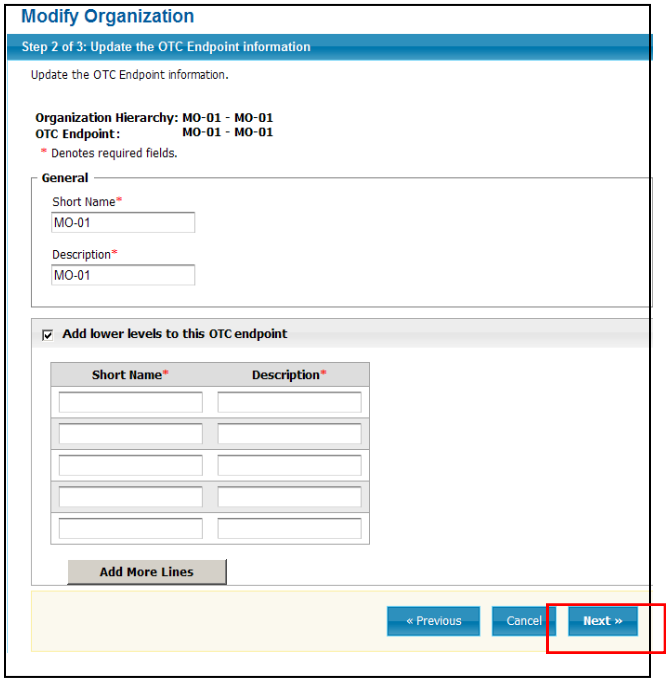
Add a Lower Level to an Existing OTC Endpoint

You can add as many levels to your agency hierarchy as your organization needs, each with as many **OTC Endpoints** as needed.

1. Click the **Administration** tab. From the **Manage Organization** menu, select **Organization Hierarchy** and click **Modify** (refer to Figure 1).
2. The *Step 1 of 3: Select an OTC Endpoint* page appears (refer to Figure 2). Select your **OTC Endpoint** that appears in the list.
3. The *Step 2 of 3: Update OTC Endpoint Information* page appears (see Figure 5).

Check the **Add lower levels to this OTC Endpoint** check box to add lower levels to the existing endpoint. **Short Name** and **Description** text boxes appear. Enter **Short Name** and **Description** fields for all the **OTC Endpoints** in the next lower level. When you have finished, click **Next**.

Figure 5: Update the OTC Endpoint Information page



Modify Organization

Step 2 of 3: Update the OTC Endpoint information

Update the OTC Endpoint information.

Organization Hierarchy: **MO-01 - MO-01**
OTC Endpoint: **MO-01 - MO-01**

* Denotes required fields.

General

Short Name*: MO-01

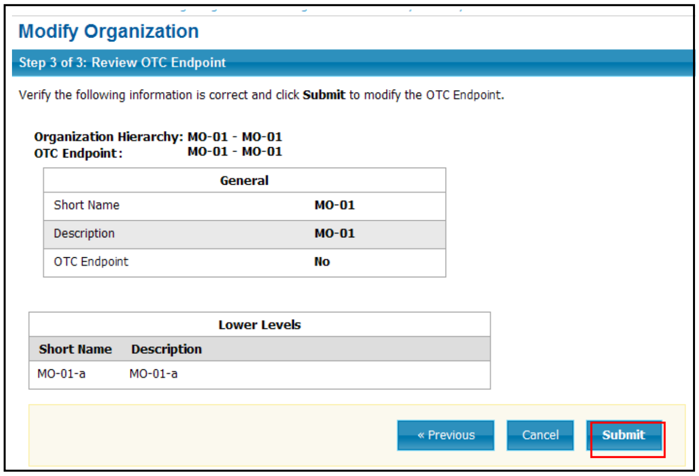
Description*: MO-01

☑ **Add lower levels to this OTC endpoint**

Short Name*	**Description***

4. The *Step 3 of 3: Review OTC Endpoint* appears. Verify the **OTC Endpoint** details are correct and click **Submit**, as shown in Figure 6 below. A confirmation page appears showing the **OTC Endpoint** has been modified (added). Verify the OTC Endpoint details are correct and click **Submit**. A confirmation page appears showing the OTC Endpoint has been modified.

Figure 6: Review OTC Endpoint page



Modify Organization

Step 3 of 3: Review OTC Endpoint

Verify the following information is correct and click **Submit** to modify the OTC Endpoint.

Organization Hierarchy: **MO-01 - MO-01**
OTC Endpoint: **MO-01 - MO-01**

General	
Short Name	**MO-01**
Description	**MO-01**
OTC Endpoint	**No**

Lower Levels	
Short Name	**Description**
MO-01-a	MO-01-a

Add a Lower Level to an OTC Endpoint

To add a lower level to an OTC Endpoint, complete the following steps:

1. Click the **Administration** tab.
2. From the **Manage Organization** menu, select **Organization Hierarchy** and click **Modify**. The *Step 1 of 3: Select an OTC Endpoint* page appears.
3. Select your OTC Endpoint that appears in the list. The *Step 2 of 3: Update OTC Endpoint Information* page appears.
4. Check the **Add lower levels to this OTC Endpoint**, to add lower level to the existing endpoint. **Short Name** and **Description** text boxes appear. The *Step 3 of 3: Review OTC Endpoint* appears.
5. Verify the OTC Endpoint details are correct and click **Submit**. A confirmation page appears showing the OTC Endpoint has been modified.

> **Application Tip**
>
> Additional buttons on the page help you perform other tasks:
> - Click **Add More Lines** to insert additional rows to the table, to input additional agency accounting codes.
> - Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
> - Click **Previous** to return to the previous page.
> - Click **Return Home** to return to the OTCnet Home Page.

It is also important to not the following:

> **Application Tip**
>
> Before a user can be provisioned to a deposit processing OTC Endpoint **(TGA)** in ITIM, ensure the **Allow OTC Endpoint to create deposits for over-the-counter collections** check box is checked.

> **Application Tip**
>
> Before a user can be provisioned to a check capture OTC Endpoint **(CHK)** in ITIM, ensure the **Enable Check Capture** check box is checked.

Application Tip

If the **Allow OTC Endpoint to create deposits for over-the-counter collections** check box and/or the **Enable Check Capture** check box is not checked when modifying OTC Endpoint Information, you will not be able to provision the user to the appropriate OTCnet Endpoint. Refer to the Chapter 4: *Managing Your Organization Hierarchy* user guide for more details about managing your organization's hierarchy.

Modify OTC Endpoint Information

You can modify the **Short Name** or **Description** of an existing **OTC Endpoint,** enable the **OTC Endpoint** to create deposits or capture checks, or add a lower level to the **OTC Endpoint**.

1. Click the **Administration** tab. From the **Manage Organization** menu, select **Organization Hierarchy** and click **Modify**. The *Step 1 of 3: Select an OTC Endpoint* page appears (refer to Figure 1). Select your organization's endpoint that you want to modify that appears in the list.

2. The *Step 2 of 3: Update OTC Endpoint Information* page appears (see Figure 7).

   Update the OTC Endpoint information:

   - Update **General** by entering the **Short Name** and **Description** details.

   A short name must be entered to identify the **OTC Endpoint** that is being updated. If an **OTC Endpoint** exists, the data displayed in the text is available for update.

   Application Tip

   Do not include the following special characters in the **Short Name** field: **&** (ampersand), \ (*back slash*), **'** (*apostrophe*), or @ (*at sign*). OTCnet will accept these special characters; however, entering these special characters will cause processing problems. Special character limitations apply to all levels in the hierarchy.

   To allow the **OTC Endpoint** to create deposits, you can:

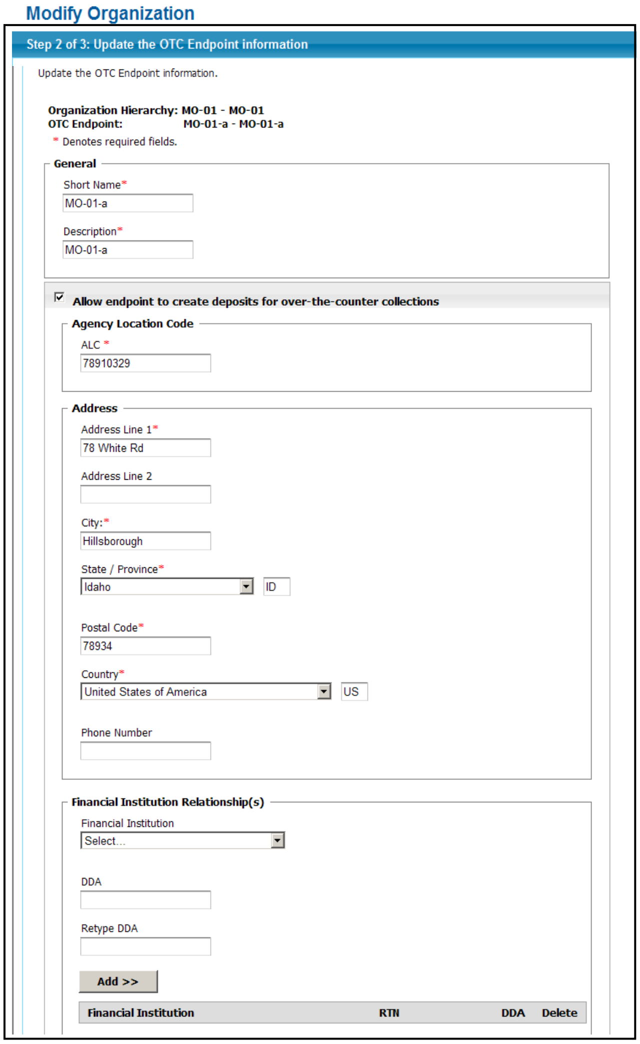
   Click the **Allow OTC Endpoint to create deposits for over-the-counter collections** check box.

   Note: Before a user can be provisioned to a deposit processing OTC Endpoint **(TGA)** in ITIM, ensure the **Allow OTC Endpoint to create deposits for over-the-counter collections** check box is checked.

   - Update **Agency Location Code** by entering the ALC
   - Update **Address** by entering the address details
   - Update **Financial Institution Relationship(s)** by
     - Selecting both the **Financial Institution** and **RTN (Routing Transit Number)**
     - Entering the **DDA (Demand Deposit Account)** and **Retype DDA** and click **Add**

To delete the Financial Institution relationship, click the **Delete** checkbox(es) under the **Delete** column

Figure 7: Update OTC Endpoint Information



Modify Organization

Step 2 of 3: Update the OTC Endpoint information

Update the OTC Endpoint information.

Organization Hierarchy: MO-01 - MO-01
OTC Endpoint: MO-01-a - MO-01-a

* Denotes required fields.

General

Short Name*: MO-01-a

Description*: MO-01-a

☑ **Allow endpoint to create deposits for over-the-counter collections**

Agency Location Code

ALC *: 78910329

Address

Address Line 1*: 78 White Rd

Address Line 2:

City:*: Hillsborough

State / Province*: Idaho ID

Postal Code*: 78934

Country*: United States of America US

Phone Number:

Financial Institution Relationship(s)

Financial Institution: Select...

DDA:

Retype DDA:

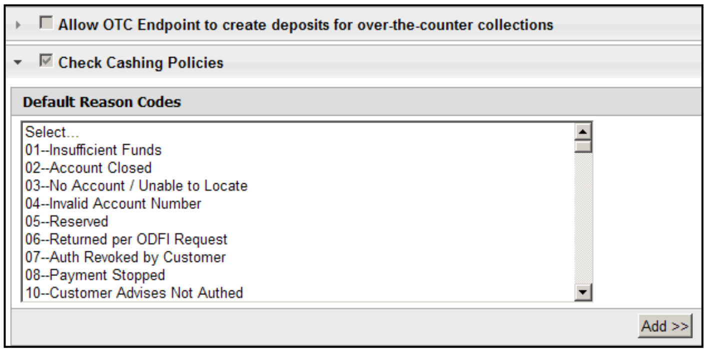
Financial Institution	RTN	DDA	Delete

To specify the check cashing policies of the **OTC Endpoint**, you can:

- Click the **Check Cashing Policies** check box.
  - Add **Default Reason Codes** by,
    - Selecting a default reason code and then clicking **Add**, *optional*. Repeat steps as necessary

Note: Before a user can be provisioned to a check capture OTC Endpoint **(CHK)** in ITIM, ensure the **Enable Check Capture** check box is checked.

Figure 8. Check Cashing Policies



☐ Allow OTC Endpoint to create deposits for over-the-counter collections

☑ Check Cashing Policies

Default Reason Codes

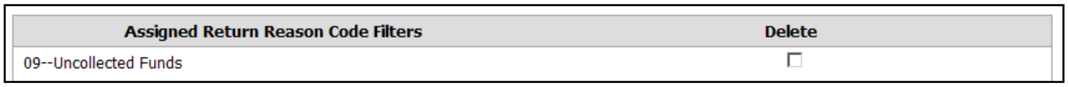
Select...
01--Insufficient Funds
02--Account Closed
03--No Account / Unable to Locate
04--Invalid Account Number
05--Reserved
06--Returned per ODFI Request
07--Auth Revoked by Customer
08--Payment Stopped
10--Customer Advises Not Authed

Application Tip

The **Default Reason Codes** allows you to specify the return reason codes relevant to your agency's program. These codes represent the numeric codes used in the ACH and paper return processing, which specify the reason for the return of the transaction and Check 21 codes.

- Delete **Assigned Return Reason Code Filters** by
  - Checking **Delete** box(es) under the **Delete** column, *optional*

Figure 9. Assigned Return Reason Codes Filters (Delete Option)

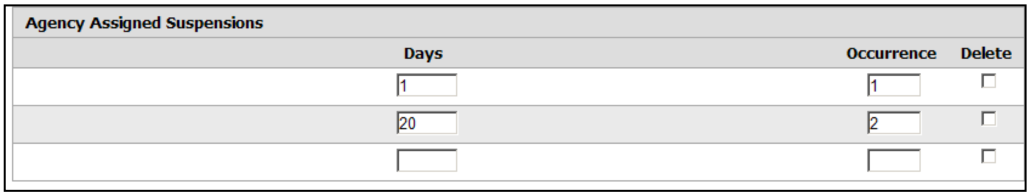


Assigned Return Reason Code Filters	Delete
09--Uncollected Funds	☐

- Update **Agency Assigned Suspensions** by, *optional*
  - Entering the number of **Days**
  - Entering the **Occurrence** number
  - Selecting **Agency Assigned Suspensions** you want to **Delete** by checking the boxes under the **Delete** column, *if applicable*

To update the **Agency Assigned Suspensions**, select the **Default Reason Code** it will apply, by clicking in the box provided.

Figure 10. Agency Assigned Suspensions



Agency Assigned Suspensions

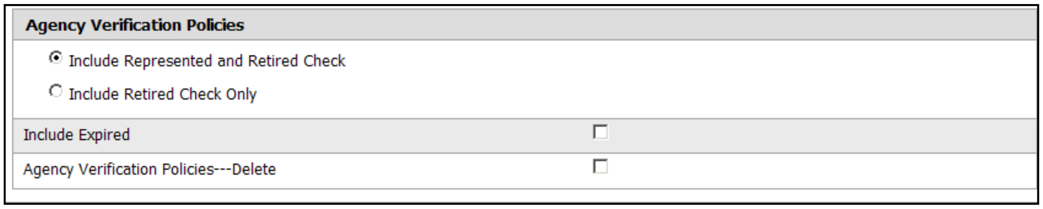
Days	Occurrence	Delete
1	1	☐
20	2	☐
		☐

Application Tip

The **Agency Assigned Suspensions - Days** allows you to specify the number of calendar days than an individual is unable to cash a check or pay by check and is calculated from the date the system is aware of the return file. The **Agency Assigned Suspensions - Occurrence** allows you to specify the suspension level.

- Update **Agency Verification Policy** by, *optional*
  - Clicking **Include Represented and Retired Check** or **Include Retired Check Only**
  - Checking **Include Expired**
  - Entering the number of **Expired Days**
  - Checking **Agency Verification Policies—Delete**

Figure 11. Agency Verification Policy



Agency Verification Policies

● Include Represented and Retired Check
○ Include Retired Check Only

Include Expired ☐
Agency Verification Policies---Delete ☐

Application Tip

Include Represented and Retired Check or Include Retired Check Only allows you to specify whether the verification record is generated on Represented or Retired items. **Include Retired Check Only** allows you to specify whether the verification record is generated on only Retired items.

Application Tip

Include Expired indicates whether previous suspensions that have since expired are counted when accessing the suspension level to assign when the individual writes a check. **Agency Verification Policies—Delete** allows you to remove the check cashing policy for an your OTC Endpoint. Once the check cashing policy is removed for the OTC Endpoint, the higher level organization's check cashing policy will be automatically assigned to your OTC Endpoint.

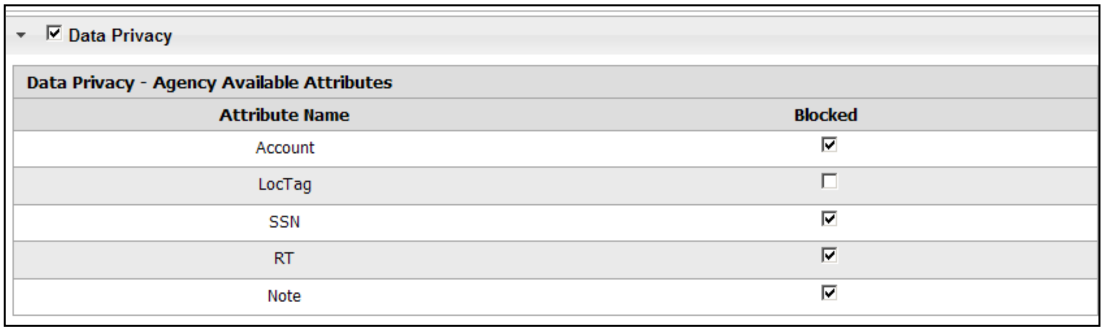
To specify the data privacy of the **OTC Endpoint**, you can:

- Click the **Data Privacy** check box.

- Update **Data Privacy** by,
  - Selecting the **Data Privacy – Agency Available Attributes** you want to block or unblock by checking the boxes under the **Blocked** column.

By default, account, user defined field 1, bank routing number, and note are checked as **Blocked**.

Figure 12. Data Privacy Available Attributes



☑ Data Privacy

Data Privacy - Agency Available Attributes

Attribute Name	Blocked
Account	☑
LocTag	☐
SSN	☑
RT	☑
Note	☑

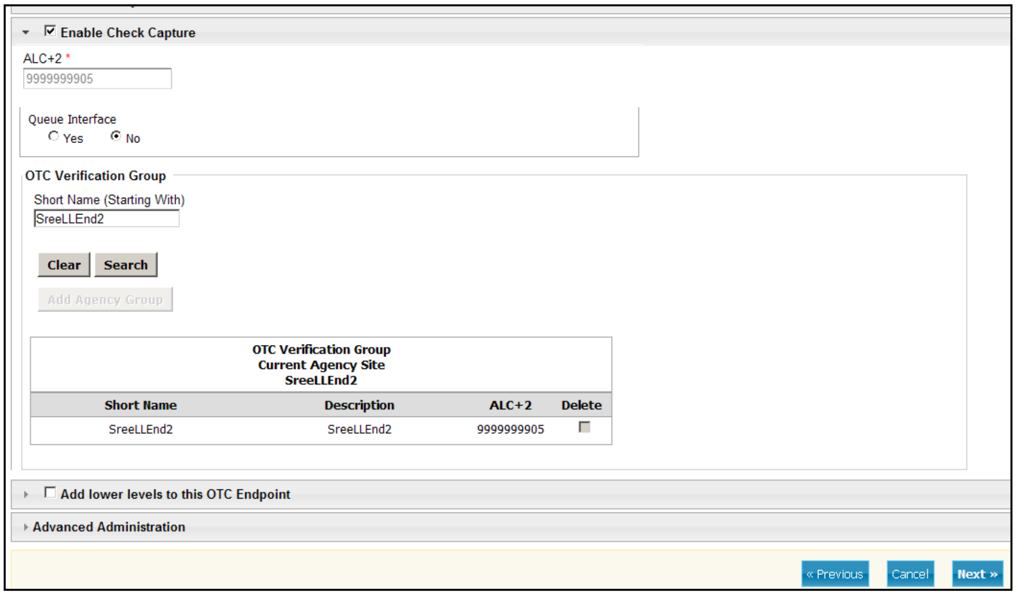
To enable the **OTC Endpoint** to capture checks, you can:

- Click the **Enable Check Capture** check box.
- Update **Enable Check Capture** by,
  - Entering the (Agency Location Code) **ALC+2**.
  - Update **OTC Verification Group** by,
    - Entering the **Short Name (Starting With)** and clicking **Search**
    - Clicking **Yes** or **No** for **Queue Interface**
    - Selecting the **OTC Endpoint** you want to add by checking the box under the **Assign** column and then clicking **Add Agency Group**

By default, the OTC Endpoint **Short Name** displays. You can add additional OTC Endpoints to the OTC Verification Group by clicking the **Clear** button to clear the Short Name and then entering a **Short Name** and clicking **Search**.

    - Under **OTC Verification Group, Current Agency Site**,
      - Select the **OTC Endpoint** you want to delete by checking the box under the **Delete** column.

Figure 13. Enable Check Capture



☑ Enable Check Capture

ALC+2 *: 9999999905

Queue Interface: ○ Yes ● No

OTC Verification Group

Short Name (Starting With): SreeLLEnd2

OTC Verification Group Current Agency Site SreeLLEnd2			
Short Name	**Description**	**ALC+2**	**Delete**
SreeLLEnd2	SreeLLEnd2	9999999905	☐

☐ Add lower levels to this OTC Endpoint

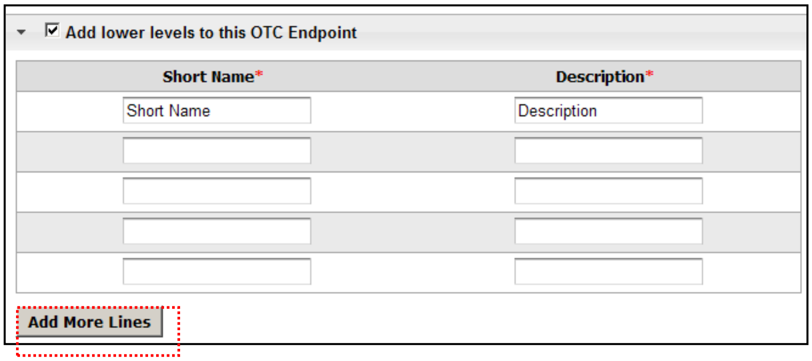
To add lower level endpoints, you can:

- Click the **Add lower levels to this OTC Endpoint** check box.
- Update **Add lower levels to this OTC Endpoint** by,
  - Entering the **Short Name** and **Description**.
  - Click **Add More Lines** to add additional lower levels to this **OTC Endpoint**

A short name must be entered to identify the OTC Endpoint that is being updated. If an **OTC Endpoint** exists, the data displayed in the text is available for update.

Check the **Add lower levels to this OTC Endpoint**, to add lower level to the existing endpoint.

Figure 14. Add Lower Level to Endpoint



☑ Add lower levels to this OTC Endpoint

Short Name*	Description*
Short Name	Description

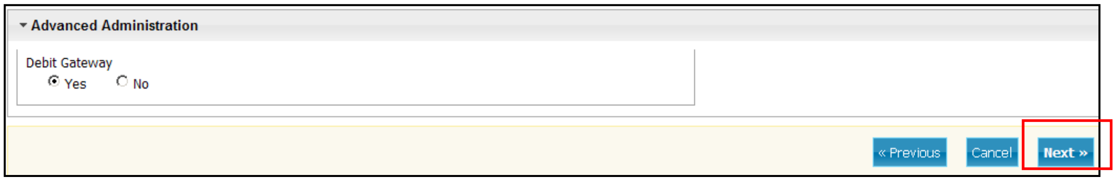
To specify the advanced administration, you can:

- Click **Advanced Administration**.
- Specify Advanced Administration by,

- Clicking **Yes** or **No** for **Debit Gateway**

You can only specify the **Advanced Administration** information if the OTC Endpoint is allowed to capture checks.

Figure 15. Advanced Administration



Advanced Administration

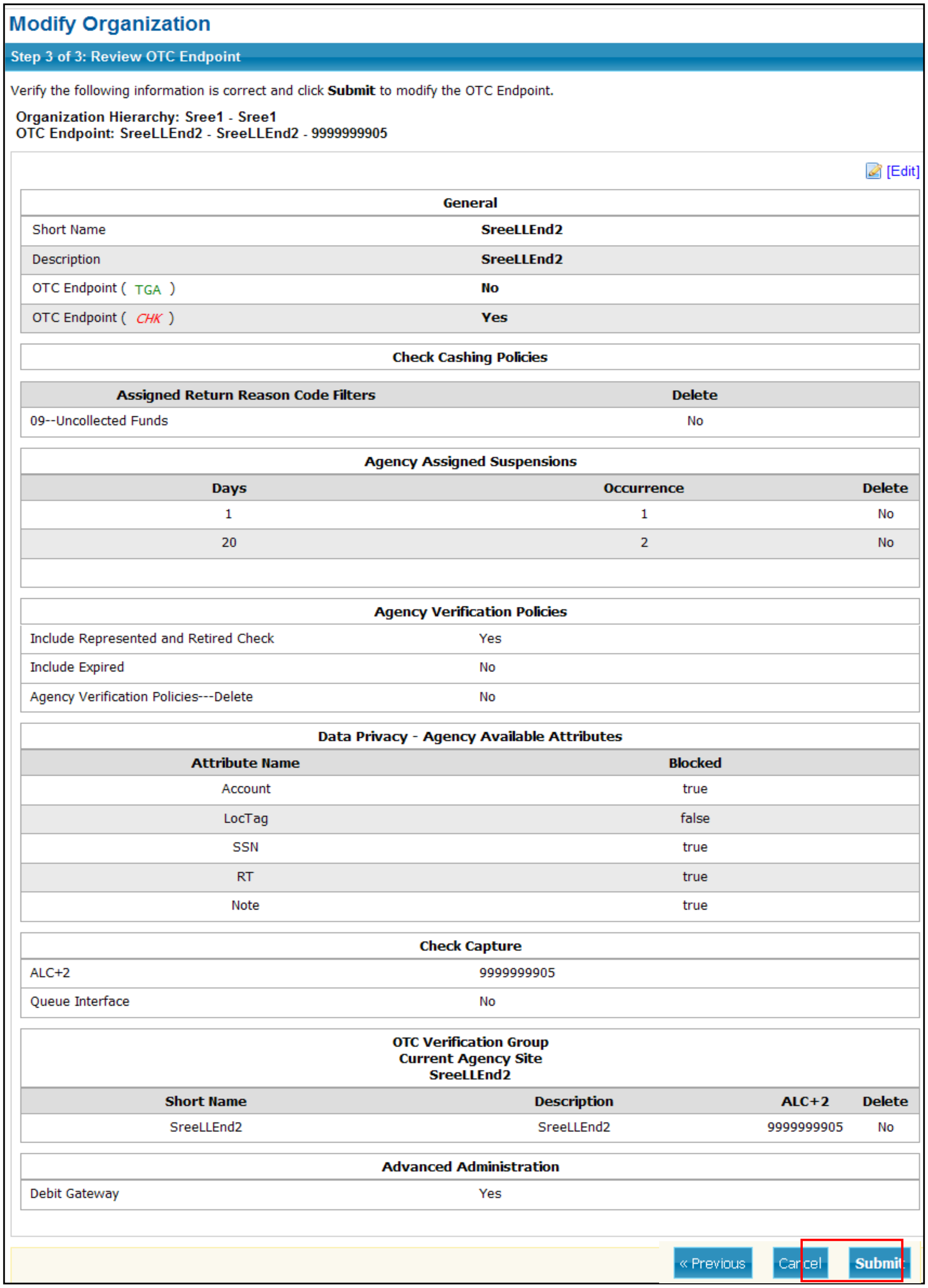
Debit Gateway

● Yes ○ No

3. Click **Next** after completing the OTC Endpoint Information page (see Figure 15 above).

4. The *Step 3 of 3: Review OTC Endpoint* page appears. Verify the **OTC Endpoint** details are correct and click **Submit**. A confirmation page appears showing the **OTC Endpoint** has been modified (refer to Figure 16 below).

Figure 16. Review OTC Endpoint



Modify Organization

Step 3 of 3: Review OTC Endpoint

Verify the following information is correct and click **Submit** to modify the OTC Endpoint.

Organization Hierarchy: Sree1 - Sree1
OTC Endpoint: SreeLLEnd2 - SreeLLEnd2 - 9999999905

General	
Short Name	**SreeLLEnd2**
Description	**SreeLLEnd2**
OTC Endpoint (TGA)	**No**
OTC Endpoint (*CHK*)	**Yes**

Check Cashing Policies

Assigned Return Reason Code Filters	Delete
09--Uncollected Funds	No

Agency Assigned Suspensions

Days	Occurrence	Delete
1	1	No
20	2	No

Agency Verification Policies	
Include Represented and Retired Check	Yes
Include Expired	No
Agency Verification Policies---Delete	No

Data Privacy - Agency Available Attributes

Attribute Name	Blocked
Account	true
LocTag	false
SSN	true
RT	true
Note	true

Check Capture	
ALC+2	9999999905
Queue Interface	No

OTC Verification Group
Current Agency Site
SreeLLEnd2

Short Name	Description	ALC+2	Delete
SreeLLEnd2	SreeLLEnd2	9999999905	No

Advanced Administration	
Debit Gateway	Yes

Modify an OTC Endpoint

To modify an OTC Endpoint, complete the following steps:

1. Click the **Administration** tab.

2. From the **Manage Organization** menu, select **Organization Hierarchy** and click **Modify**. The *Step 1 of 3: Select an OTC Endpoint* page appears.

Application Tip

Before a user can be provisioned to a deposit processing OTC Endpoint **(TGA)** in ITIM, ensure the **Allow OTC Endpoint to create deposits for over-the-counter collections** check box is checked.

Application Tip

Before a user can be provisioned to a check capture OTC Endpoint **(CHK)** in ITIM, ensure the **Enable Check Capture** check box is checked.

3. Select your organization's endpoint that you want to modify that appears in the list. The *Step 2 of 3: Update OTC Endpoint Information* page appears. Update the OTC Endpoint information and click **Next.**

Update **General** by

- Entering the **Short Name** and **Description** details.

Application Tip

A short name must be entered to identify the OTC Endpoint that is being updated. If an OTC Endpoint exists, the data displayed in the text is available for update.

Application Tip

Do not include the following special characters in the **Short Name** field: **&** (ampersand), **** (*back slash*), **'** (*apostrophe*), or **@** (*at sign*). OTCnet will accept these special characters; however, entering these special characters will cause processing problems. Special character limitations apply to all levels in the hierarchy.

Update **Agency Location Code** by

- Entering the ALC (Agency Location Code).

Update **Address** by
- Entering the address details.

Update **Financial Institution Relationship(s)** by
- Selecting both the **Financial Institution** and **RTN (Routing Transit Number)**
- Entering the **DDA (Demand Deposit Account)** and **Retype DDA** and click **Add**.

Check the **Add lower levels to this OTC Endpoint**, to add lower level to the existing endpoint.

Application Tip

To delete the Financial Institution relationship, click the **Delete** checkbox(es) under the **Delete** column.

To specify the check cashing policies of the OTC Endpoint, you can:
- Click the **Check Cashing Policies** check box
  - Add **Default Reason Codes** by,
  - Selecting a default reason code and then clicking **Add**, *optional*. Repeat steps as necessary
  - Delete **Assigned Return Reason Code Filters** by
    - Checking **Delete** box(es) under the **Delete** column, *optional*

Application Tip

The **Default Reason Codes** allows you to specify the return reason codes relevant to your agency's program. These codes represent the numeric codes used in the ACH and paper return processing, which specify the reason for the return of the transaction and Check 21 codes.

- Update **Agency Assigned Suspensions** by, *optional*
  - Entering the number of **Days**
  - Entering the **Occurrence** number
  - Selecting **Agency Assigned Suspensions** you want to **Delete** by checking the boxes under the **Delete** column, *if applicable*

Application Tip

To update the **Agency Assigned Suspensions**, select the **Default Reason Code** it will apply, by clicking in the box provided.

Application Tip

The **Agency Assigned Suspensions - Days** allows you to specify the number of calendar days than an individual is unable to cash a check or pay by check and is calculated from the date the system is aware of the return file. The **Agency Assigned Suspensions - Occurrence** allows you to specify the suspension level.

- Update **Agency Verification Policy** by, *optional*
  - Clicking **Include Represented and Retired Check** or **Include Retired Check Only**
  - Checking **Include Expired**
  - Entering the number of **Expired Days**
  - Checking **Agency Verification Policies—Delete**

Application Tip

Include Represented and Retired Check or Include Retired Check Only allows you to specify whether the verification record is generated on Represented or Retired items. **Include Retired Check Only** allows you to specify whether the verification record is generated on only Retired items.

Application Tip

Include Expired indicates whether previous suspensions that have since expired are counted when accessing the suspension level to assign when the individual writes a check. **Agency Verification Policies—Delete** allows you to remove the check cashing policy for an your OTC Endpoint. Once the check cashing policy is removed for the OTC Endpoint, the higher level organization's check cashing policy will be automatically assigned to your OTC Endpoint.

To specify the data privacy of the OTC Endpoint, you can:

- Click the **Data Privacy** check box.
- Update **Data Privacy** by,
  - Selecting the **Data Privacy – Agency Available Attributes** you want to block or unblock by checking the boxes under the **Blocked** column.

Application Tip

By default, account, user defined field 1, bank routing number, and note are checked as **Blocked**.

To enable the OTC Endpoint to capture checks, you can:

- Click the **Enable Check Capture** check box.
- Update **Enable Check Capture** by,
  - Entering the (Agency Location Code) **ALC+2**.
  - Update **OTC Verification Group** by,
    - Entering the **Short Name (Starting With)** and clicking **Search**
    - Clicking **Yes** or **No** for **Queue Interface**
    - Selecting the **OTC Endpoint** you want to add by checking the box under the **Assign** column and then clicking **Add Agency Group**

Application Tip

By default, the OTC Endpoint **Short Name** displays. You can add additional OTC Endpoints to the OTC Verification Group by clicking the **Clear** button to clear the Short Name and then entering a **Short Name** and clicking **Search**.

- Under **OTC Verification Group, Current Agency Site**,
  - Select the **OTC Endpoint** you want to delete by checking the box under the **Delete** column.

To add lower level endpoints, you can:

- Click the **Add lower levels to this OTC Endpoint** check box.
- Update **Add lower levels to this OTC Endpoint** by,
  - Entering the **Short Name** and **Description**.
  - Click **Add More Lines** to add additional lower levels to this OTC Endpoint

Application Tip

A short name must be entered to identify the OTC Endpoint that is being updated. If an OTC Endpoint exists, the data displayed in the text is available for update.

To specify the advanced administration, you can:

- Click **Advanced Administration**.
- Specify Advanced Administration by,
  - Clicking **Yes** or **No** for **Debit Gateway**

Application Tip

You can only specify the **Advanced Administration** information if the OTC Endpoint is allowed to capture checks.

7. Click **Next**. The *Step 3 of 3: Review OTC Endpoint* page appears.

8. Verify the information is correct and click **Submit**. Click **Edit**, if you need to modify the information entered and return to Step 4.

9. A confirmation page appears showing the OTC Endpoint has been modified.

Application Tip

Additional buttons on the page that help you perform other tasks:

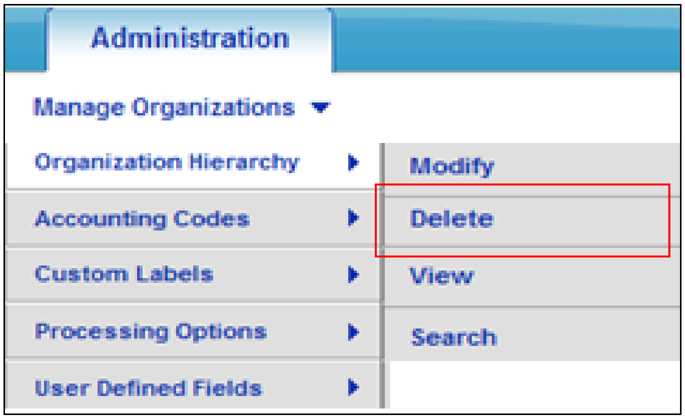
- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Previous** to return to the previous page.
- Click **Return Home** to return to the OTCnet Home Page.

Delete OTC Endpoint

You can delete an **OTC Endpoint** as long as no deposits have been made to that endpoint. You cannot delete an **OTC Endpoint** with deposits because deleting the **OTC Endpoint** deletes all information associated with that **OTC Endpoint**. This would delete deposit information that impacts the reports you run in OTCnet.

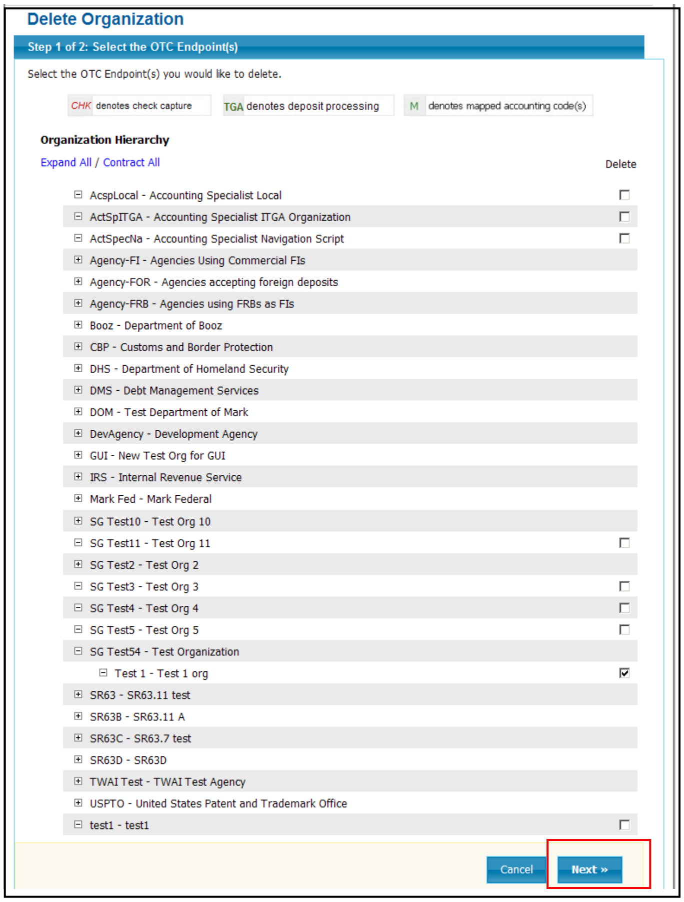
1. Click the **Administration** tab. From the **Manage Organization** menu, select **Organization Hierarchy** and click **Delete** (see Figure 8 below).

Figure 17. Organization Hierarchy>Delete


Administration
Manage Organizations
Organization Hierarchy
Accounting Codes
Custom Labels
Processing Options
User Defined Fields
Modify
Delete
View
Search

2. The *Step 1 of 2: Select the OTC Endpoint(s)* page appears. Select the **OTC Endpoint(s)** you would like to **Delete** and click **Next**.

Figure 18: Select the OTC Endpoint(s)



Delete Organization

Step 1 of 2: Select the OTC Endpoint(s)

Select the OTC Endpoint(s) you would like to delete.

CHK denotes check capture TGA denotes deposit processing M denotes mapped accounting code(s)

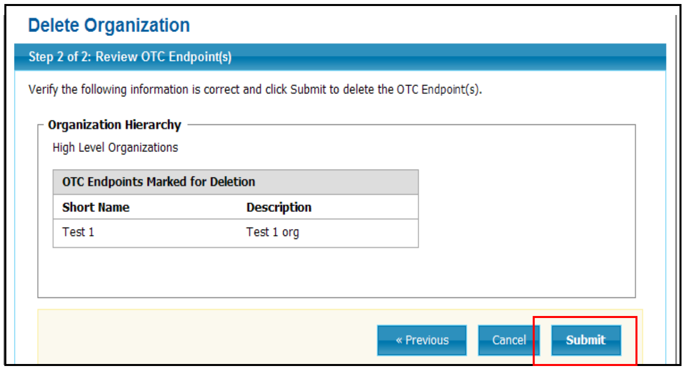
Organization Hierarchy

Expand All / Contract All Delete

⊟ AcspLocal - Accounting Specialist Local ☐
⊟ ActSpITGA - Accounting Specialist ITGA Organization ☐
⊟ ActSpecNa - Accounting Specialist Navigation Script ☐
⊞ Agency-FI - Agencies Using Commercial FIs
⊞ Agency-FOR - Agencies accepting foreign deposits
⊞ Agency-FRB - Agencies using FRBs as FIs
⊞ Booz - Department of Booz
⊞ CBP - Customs and Border Protection
⊞ DHS - Department of Homeland Security
⊞ DMS - Debt Management Services
⊞ DOM - Test Department of Mark
⊞ DevAgency - Development Agency
⊞ GUI - New Test Org for GUI
⊞ IRS - Internal Revenue Service
⊞ Mark Fed - Mark Federal
⊞ SG Test10 - Test Org 10
⊟ SG Test11 - Test Org 11 ☐
⊞ SG Test2 - Test Org 2
⊟ SG Test3 - Test Org 3 ☐
⊟ SG Test4 - Test Org 4 ☐
⊟ SG Test5 - Test Org 5 ☐
⊟ SG Test54 - Test Organization
  ⊟ Test 1 - Test 1 org ☑
⊞ SR63 - SR63.11 test
⊞ SR63B - SR63.11 A
⊞ SR63C - SR63.7 test
⊞ SR63D - SR63D
⊞ TWAI Test - TWAI Test Agency
⊞ USPTO - United States Patent and Trademark Office
⊟ test1 - test1 ☐

3. The *Step 2 of 2: Review OTC Endpoint(s)* page appears. Verify the correct endpoint is marked for deletion and click **Submit** (see Figure 10 below). A confirmation page appears confirming the **OTC Endpoint** has been deleted.

Figure 19: Review OTC Endpoint(s) page



Delete Organization

Step 2 of 2: Review OTC Endpoint(s)

Verify the following information is correct and click Submit to delete the OTC Endpoint(s).

Organization Hierarchy

High Level Organizations

OTC Endpoints Marked for Deletion

Short Name	Description
Test 1	Test 1 org

Delete an OTC Endpoint

To delete an OTC Endpoint, complete the following steps:

1. Click the **Administration** tab.
2. From the **Manage Organization** menu, select **Organization Hierarchy** and click **Delete**. The *Step 1 of 2: Select the OTC Endpoint(s)* page appears.
3. Select the OTC Endpoints you would like to **Delete** and click **Next**. The *Step 2 of 2: Review OTC Endpoint(s)* page appears.
4. Verify the correct endpoint is marked for deletion and click **Submit**. A confirmation page appears confirming the OTC Endpoint has been deleted.

Application Tip

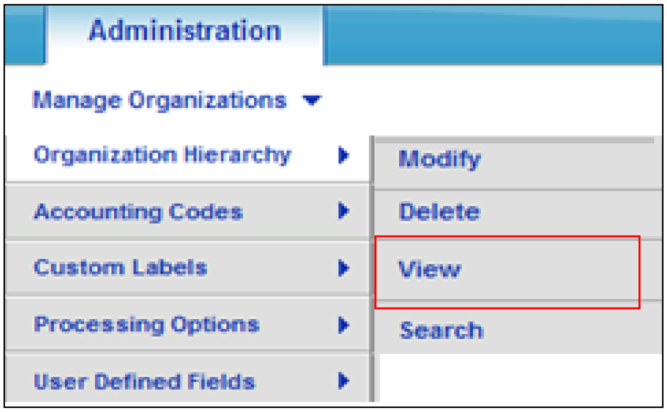
Additional buttons on the page help you perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Edit** to return to the previous page.
- Click **Previous** to return to the previous page.
- Click **Return Home** to return to the OTCnet Home Page.

View OTC Endpoint

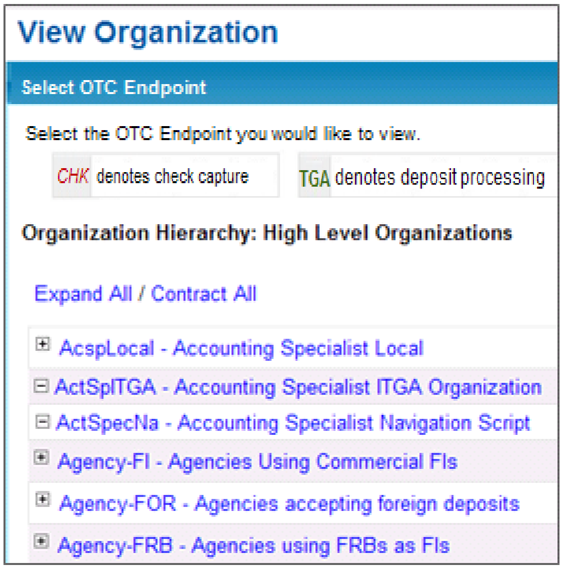
1. Click the **Administration** tab.
2. From the **Manage Organization** menu, select **Organization Hierarchy** and click **View** (see Figure 11 below).

Figure 20. Select Organization Hierarchy>View


Administration
Manage Organizations
Organization Hierarchy
Accounting Codes
Custom Labels
Processing Options
User Defined Fields
Modify
Delete
View
Search

3. The *View Organization* page appears. Select the **OTC Endpoint** you would like to view, as shown in Figure 12 below.

Figure 21. Select the OTC Endpoint from View Page



View Organization

Select OTC Endpoint

Select the OTC Endpoint you would like to view.

CHK denotes check capture TGA denotes deposit processing

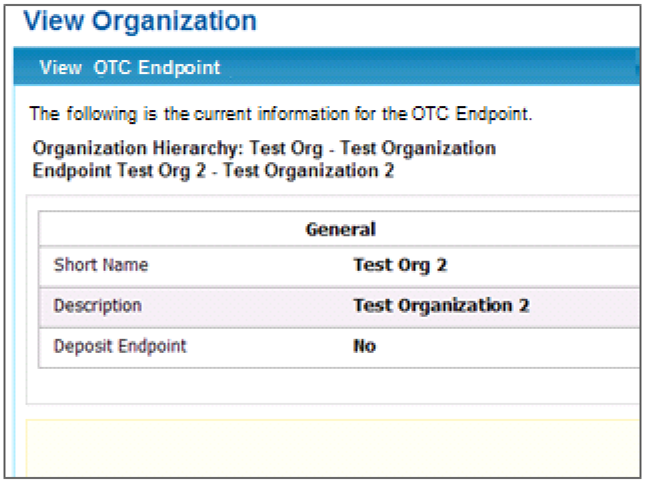
Organization Hierarchy: High Level Organizations

Expand All / Contract All

⊞ AcspLocal - Accounting Specialist Local
⊟ ActSplTGA - Accounting Specialist ITGA Organization
⊟ ActSpecNa - Accounting Specialist Navigation Script
⊞ Agency-FI - Agencies Using Commercial FIs
⊞ Agency-FOR - Agencies accepting foreign deposits
⊞ Agency-FRB - Agencies using FRBs as FIs

4. The *View OTC Endpoint* page appears. View **OTC Endpoint** Information. See Figure 13 below.

Figure 22. View OTC Endpoint Page



View Organization

View OTC Endpoint

The following is the current information for the OTC Endpoint.

Organization Hierarchy: Test Org - Test Organization
Endpoint Test Org 2 - Test Organization 2

General	
Short Name	**Test Org 2**
Description	**Test Organization 2**
Deposit Endpoint	**No**

Viewing an OTC Endpoint

To view an OTC Endpoint, complete the following steps:

1. Click the **Administration** tab.
2. From the **Manage Organization** menu, select **Organization Hierarchy** and click **View**. The *View Organization* page appears.
3. Select the OTC Endpoint you would like to view. The *View OTC Endpoint* page appears.

Application Tip

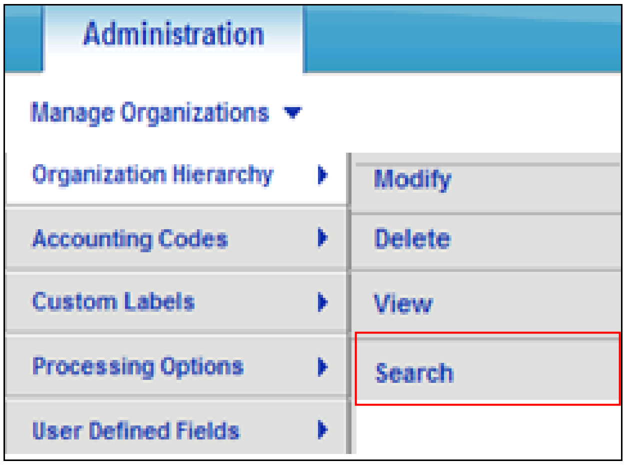
Additional buttons on the page help you perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Previous** to return to the previous page.
- Click **Return Home** to return to the OTCnet Home Page.

Search OTC Endpoint

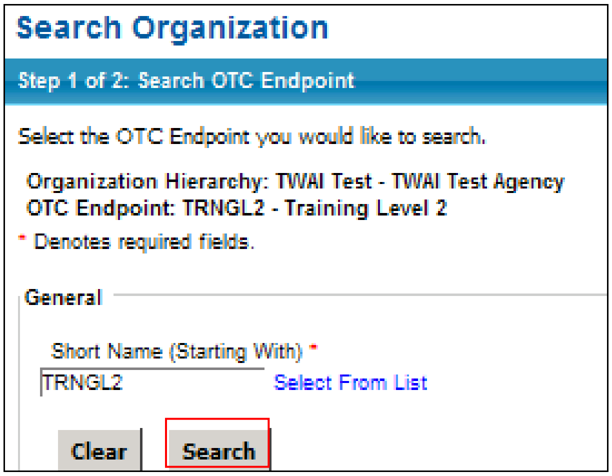
1. Click the **Administration** tab.
2. From the **Manage Organization** menu, select **Organization Hierarchy** and click **Search** (see Figure 14 below).

Figure 23. Select Organization Hierarchy>Search


Administration
Manage Organizations
Organization Hierarchy
Accounting Codes
Custom Labels
Processing Options
User Defined Fields
Modify
Delete
View
Search

5. The *Search Organization* page appears. Select the **OTC Endpoint** you would like to search. Click **Search**, as shown here in Figure 15.

Figure 24. Select the OTC Endpoint from Search Page



Search Organization

Step 1 of 2: Search OTC Endpoint

Select the OTC Endpoint you would like to search.

Organization Hierarchy: TWAI Test - TWAI Test Agency
OTC Endpoint: TRNGL2 - Training Level 2

* Denotes required fields.

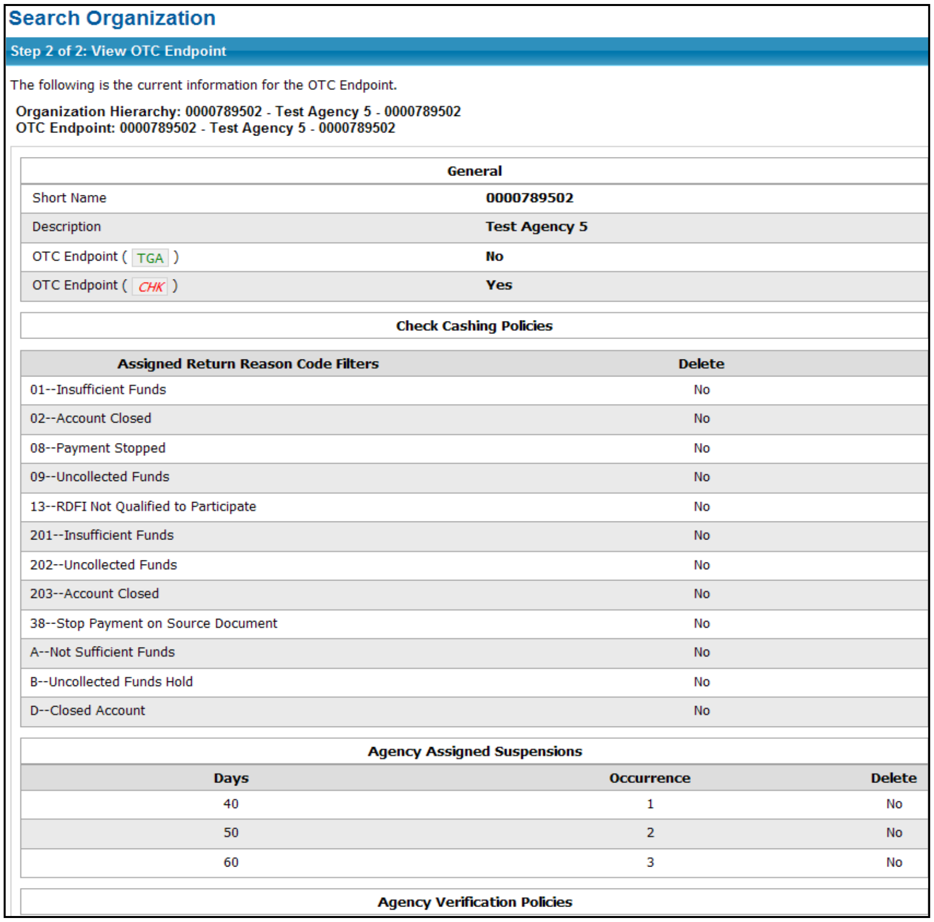
General

Short Name (Starting With) *: TRNGL2

Select From List
Clear
Search

6. The *View the OTC Endpoint* (for Search Organization) page appears. Search **OTC Endpoint** Information. See Figure 16 below.

Figure 25. View OTC Endpoint Page



Search Organization

Step 2 of 2: View OTC Endpoint

The following is the current information for the OTC Endpoint.

Organization Hierarchy: 0000789502 - Test Agency 5 - 0000789502
OTC Endpoint: 0000789502 - Test Agency 5 - 0000789502

General	
Short Name	**0000789502**
Description	**Test Agency 5**
OTC Endpoint (TGA)	**No**
OTC Endpoint (CHK)	**Yes**

Check Cashing Policies

Assigned Return Reason Code Filters	Delete
01--Insufficient Funds	No
02--Account Closed	No
08--Payment Stopped	No
09--Uncollected Funds	No
13--RDFI Not Qualified to Participate	No
201--Insufficient Funds	No
202--Uncollected Funds	No
203--Account Closed	No
38--Stop Payment on Source Document	No
A--Not Sufficient Funds	No
B--Uncollected Funds Hold	No
D--Closed Account	No

Agency Assigned Suspensions

Days	Occurrence	Delete
40	1	No
50	2	No
60	3	No

Agency Verification Policies

Searching an OTC Endpoint

To search an OTC Endpoint, complete the following steps:

4. Click the **Administration** tab.

5. From the **Manage Organization** menu, select **Organization Hierarchy** and click **Search**. The *View Organization* page appears.

6. Select the OTC Endpoint you would like to view. The *View OTC Endpoint* page appears.

Application Tip

Additional buttons on the page help you perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Previous** to return to the previous page.
- Click **Return Home** to return to the OTCnet Home Page.

Summary

In this chapter, you learned:

- The purpose of organizational hierarchy
- How to add lower level endpoints to the highest level of an organization hierarchy (deposit processing)
- How to add additional lower level endpoints/ add financial institution relationship to a hierarchy that was previously defined (deposit processing)
- How to make changes to OTC Endpoints (deposit processing)
- How to delete OTC Endpoints (deposit processing)
- How to view OTC Endpoints (deposit processing)
- How to designate a check capture OTC Endpoints (check capture and check processing)

In the next module, you will learn how to manage processing options.

Notes

Glossary

A

Access Groups by Users Report - This report displays the roles and the corresponding access groups of the role for a particular OTCnet user. The role assigns the permissions (functions/features) that a user has access to in OTCnet. The access group governs the OTC Endpoint(s) and the data that a user has permission to access.

Account Key - The account number assigned to a deposit when it is submitted to FRB CA$HLINK.

Accounting Code - A unique agency classification code assigned to a transaction. Identifies the FRB Account Key that is used within the Federal Reserve. The FRB Account Key is used by FRB CASHLINK in combination with the RTN to determine the appropriate CA$HLINK II CAN. The FRB Account Key is similar to the CAN, but is only used for FRB financial activity.

Accounting Code Description - A brief explanation that provides further detail about an accounting code.

Accounting Code Name - The title of the accounting code.

Accounting Specialist - A user who is an expert on the organizational structure, reporting needs and accounting rules for their agency. This role will establish and maintain the organizational foundation, accounting data and accounting relationships at the highest level of the agency in OTCnet.

Activity Type - The parameter indicates if a User Defined Field (UDF) is used for capturing custom agency information for a deposit or during classifying the deposit with accounting codes. OTCnet allows for the creation of three UDFs for the deposit activity, and two UDFs for the deposit accounting subtotals activity.

Adjustment Activity (FI) Report - A business report that allows you to view adjustments made by your financial institution (FI).

Adjustment Activity (FRB) Report - A business report that allows you view adjustments made by your Federal Reserve Bank (FRB).

Adjustments by OTC Endpoints Report - A business report that allows you to view adjustments made by Agency Location Code (ALC) and Adjustment Types (Credit. Debit or Return Item Adjustments). An adjustment was created when a deposit ticket has been received by a financial institution and the amount of the deposit does not match the deposit amount reported on the deposit ticket.

Agency CIRA Report - A check processing business report that allows you to view the batch level transaction activity for a specified OTC Endpoint. A user can filter the report by Received Date, Capture Date, Batch ID, or Check Capture Operator.

Agency Contact - A person designated by an agency as the primary contact regarding deposit-related matters.

Agency Information - The optional comments or instructions, receipt processing dates, alternate agency contact, and internal control number for your deposit.

Agency Location Code (ALC) - A numeric symbol identifying the agency accounting and/or reporting office. **Agency Location Code plus 2 (ALC+2)** - A numeric symbol identifying the agency accounting and/or reporting office.

Agency Manager - A user that has authorization to view and download CIRA records and view reports.

Alternate Agency Contact – A person designated by an agency as the secondary contact regarding deposit-related matters.

American Bankers Association (ABA) - (also known as **Bank Routing Number**) A routing transit number (RTN), routing number, or ABA number is a nine-digit bank code, used in the United States, which appears on the bottom of negotiable instruments such as checks identifying the financial institution on which it was drawn.

Approved Batch Status - Indicates that the batch is ready for settlement.

Audit Log - A table that records all interactions between the user and OTCnet Deposit Reporting, Check Capture, Check Processing, administrative actions and other processes that take place in the application. Some entries also contain before and after values for actions completed. The audit log is available for download to a *comma separated value report (CSV)* and opened in a spreadsheet program or available to print in a formatted audit log report.

Automated Clearing House - A computerized network used by member financial institutions to process payment orders in machine readable form. ACH processes both credit and debit transactions between financial institutions in batches. ACH items are settled electronically and do not require an image.

Awaiting Approval (AWAP) - A deposit that is waiting for deposit confirmation by a Deposit Approver.

B

Back Office Processing Method - Indicates that a customer presented a check in person, but the check is being scanned in a controlled back-office environment away from the customer.

Batch - A file containing the transaction information and tiff images (collection of scanned checks) of one or more checks, which will be sent for settlement.

Batch Control/Batch Balancing - An optional feature (which can be configured to be mandatory) that agencies can use as a batch balancing tool to perform checks and balances on the number of checks that have been scanned, and ensure their respective dollar amounts and check number totals have been accurately entered. The functionality is available for both single item mode and batch mode.

Batch ID - The unique number assigned to a batch by OTCnet.

Batch List Report - A report that contains transaction information for each batch item, including the Individual Reference Number (IRN), Item Type, ABA Number, Account Number, Check Number, and Amount.

Batch Status - Reflects the current state of a batch during processing, transmission, and settlement. The batch states for online OTCnet are Open, Closed, Approved, and Forwarded. The batch states for offline OTCnet are Open, Closed, Approved, Sending, Sent, Acknowledged, Send Error, and Acknowledgment Error (offline only).

Blocked - A customer may no longer present checks for a specific ABA number and account number due to manual entry by authorized persons into the MVD rather than the result of a failed transaction. If desired, an authorized user can edit the transactional record to a clear status.

C

CA$HLINK II - An electronic cash concentration, financial information, and data warehouse system used to manage the collection of U.S. government funds and to provide deposit information to Federal agencies.

CA$HLINK II Account Number (CAN) - The account number assigned to a deposit when it is submitted to CA$HLINK II.

Capture Date - The calendar date and time the payment is processed by the agency.

Cashier ID - The ID of the user that created the transaction.

Central Image and Research Archive (CIRA) - The Central Image Research Archive (CIRA) is an image archive of all items processed in the OTCnet System.

Characteristics - The properties of a user, organization, deposit, or financial institution.

Check 21 - Provides the legal framework for the creation of substitute checks which can be used in place of the original paper document, without an agreement in place with other financial institutions. A substitute check is a paper reproduction of the original check. Check 21 items require an image before they can settle. Check 21 is also referred to as check truncation.

Check Amount - The dollar amount of the check.

Check Capture – The component of OTCnet used to process scan images of checks and money orders through OTCnet for the electronic deposit of checks and money orders at financial institutions. Check capture can be done online through the internet, or offline through the user's desktop.

Check Capture Administrator - An agency user that has the authorization to define and modify the check capture sites; to configure Check Capture functions and perform upgrades of the application; to download user profiles; as well as download software or firmware to the terminal using the Download Check Capture application permission.

Check Capture Lead Operator - An agency user that has the authorization to in scan checks into a batch, close a batch, balance check amounts and enter batch control values during batch closing. However, the user does not have authorization to accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, or accept checks with poor quality.

Check Capture Offline – A web-based functionality in the offline Check Capture application that resides in the user's desktop for capturing check images for the electronic deposit of checks and money orders. The check transactions are stored within a local database, and the check information will need to be uploaded to OTCnet server when there is internet connectivity before they can be deposited for settlement.

Check Capture Online – A web-based functionality within OTCnet to allow agencies users to process scanned images of checks and money orders for the electronic deposit of checks and money orders at financial institutions. The check transactions are directly saved to the OTCnet online database, and no upload of batches of checks are needed.

Check Capture Operator - An agency user that has the authorization to perform only very minimal Check Capture activities. This user has authorization to scan checks into a batch and close a batch. This user does not have authorization to accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, or accept checks with poor quality.

Check Capture Supervisor - An agency user that has the authorization to perform all the functions on the Check Capture. The user has authorization to accept duplicates (not recommended), make MICR corrections, authorize the use of out-of-date LVD, and accept checks with poor quality.

Check Number - The printed number of the check writer's check.

CIRA CSV Report - A check processing business report that allows you to export data based on a query to a comma separated value report (CSV). The exported data can be used to import into other applications within an agency.

CIRA Viewer - A user that has authorization to view CIRA records and download CSV files.

Clear - Indicates that a customer may present checks for a specific ABA Number and Account Number, because the prior restrictions on the individual's check payments have been removed. Note: Manually cleared items are permanently cleared. If a transaction is cleared in error, manual suspend, block or deny records need to be created in its place to prevent transactions.

Closed Batch Status - Indicates the batch is closed and no new checks may be scanned into that batch.

Comma Separated Values (CSV) - A computer data file used for storage of data structured in a table form. Each line in the CSV file corresponds to a row in the table. Within a line, fields are separated by commas, each field belonging to one table column.

Confirmed - A deposit that has been reviewed and then confirmed by a financial institution or FRB.

Cost Center Work Unit (CCWU) – A Federal Reserve cost center work unit that processing the FRB deposits and adjustments. It is normally abbreviated as CCWU, and provided only on non-commercial (FRB settled) transactions Provided only on non-commercial (FRB settled) transactions. Debits and credits processed by FRB Cleveland will be noted with the CCWU number 9910 on the daily accounting statement agencies receive from the Federal Reserve Bank.

Custom Label - Text defined by OTCnet that describes a level in the organization hierarchy, the internal control number, or agency accounting code.

Customer Not Present Processing Method - The processing method selected in OTCnet when processing a check that has been presented by a check writer who is not present at the agency location i.e., mail.

Customer Present Processing Method - The processing method used in the OTCnet when the check writer is presenting the check in person.

D

Daily Voucher Report - A business report that allows you to view the daily voucher extract.

Data Type - The type of data that should be entered for a user defined field.

Date of Deposit - The date, prior to established cut off times, the user transmits a batch of checks and money orders through check capture, or the date the agency sends the physical negotiable instruments to the financial institution.

Debit Gateway - The financial settlement program that is responsible for the presenting and settling of payment transactions acquired through the OTCnet application. The Debit Gateway receives a transaction file from OTCnet and determines the proper path for settlement of each item. Items are either converted to ACH for direct automated clearing house debit, or are included in an image cash letter, which is sent to the Check 21 system for presentment to paying banks. Once the file is processed, the Debit Gateway sends a Response Processing File (RPF) to OTCnet with the status of each of the items.

Demand Deposit Account (DDA) - The account at a financial institution where an organization deposits collections.

Denied - Indicates that OTCnet system permanently denies an individual from cashing a check through OTCnet based on the combination of ABA number, account number, and User Defined Field 1. User Defined Field 1 is usually the SSN number of an individual.

Deny Date - Indicates when the verification record (MVD/LVD) expires, and OTCnet can start accepting checks that will be presented by a check writer that has previously presented a bad check. The Deny Date is calculated based on suspension periods configured in the Check Cashing policy of an OTC Endpoint.

Deposit - A collection of over-the-counter receipts deposited to a Treasury General Account for credit.

Deposit Activity (FI) Report - A business report that allows the financial institution to view deposits submitted to its location.

Deposit Activity (FRB) Report - A business report that allows you to view deposits submitted to your FRB.

Deposit Approver - A user who has authorization to review and submit deposits to a financial institution.

Deposit Confirmer - A user at a financial institution that has authorization to verify the accuracy of deposits received from an agency.

Deposit History by Status Report - A business report that allows you to view deposits by status.

Deposit Information - The attributes that define a deposit: deposit status, voucher number, deposit endpoint, ALC, voucher date, deposit total, check/money order subtotal, currency subtotal, and subtotals by accounting code.

Deposit Preparer - A user that has authorization to prepare and save deposits for approval to a Deposit Approver.

Deposit Total - The total amount of over-the-counter receipts included in the deposit.

Deposits by Accounting Code Report - A business report that allows you to view deposits by accounting code.

Deposits by OTC Endpoint Report - A business report that allows you to view deposits by OTC Endpoint.

Display Order Number - The order in which user defined fields (UDFs) should be displayed.

Draft - A deposit that is saved for modification at a later date by a Deposit Preparer.

F

Failed - The item was unable to be processed and/or settled by Treasury/FMS. These are item that could not be collected such as foreign items or possible duplicate items. These items are not included on your 215 Report.

Federal Program Agency - A permanent or semi-permanent organization of government that is responsible for the oversight and administration of specific functions.

Federal Reserve Bank (FRB) - A Federal Reserve Bank is one of twelve regulatory bodies throughout the United States that make up the Federal Reserve System. Each Bank is given power over commercial and savings banks in its area and is charged with making sure that those banks comply with any and all rules and regulations.

Federal Reserve Bank-Cleveland (FRB-C) - Partners with FMS to manage the OTCnet application. Responsible for check clearing, deployment, training, project management and customer service.

Federal Reserve System's Automated Clearing House (ACH) System - Enables debits and credits to be sent electronically between depository financial institutions.

Financial Institution (FI) - A bank, designated by the Treasury and a Treasury General Account (TGA) of International Treasury General Account (ITGA), which collects funds to be deposited in the Treasury General Account. These banks also include the Federal Reserve Bank (FRB).

Financial Institution Information - The name, address, routing transit number, and the demand deposit account number of a financial institution.

Financial Management Service (FMS) - The bureau of the United States Department of Treasury that provides central payment services to federal agencies, operates the federal government's collections and deposit systems, provides government wide accounting and reporting services, and manages the collection of delinquent debt owed to the government.

Firmware - A release used for initial download or upgrades to the scanner software that allows a scanner to be used on a terminal. The firmware versions also contains a series of other back-end installation files that should be installed on a terminal to enable it to be used for Check Capture in OTCnet.

Fiscal Year - A 12-month period for which an organization plans the use of its funds.

FMS Statistical Report - A check processing administration report that allows you to view statistical details for an OTC Endpoint. The report includes statistical information regarding the total transactions, overall success rate, total returns sent back to the agency, and total returns received. The report is available for 15 rolling days.

Forwarded Batch Status - Indicates the batch has been sent to Debit Gateway to initiate the settlement process.

Franker - An internal stamp unit that stamps a check with "Electronically Processed" after the check is processed and scanned. Franker availability is based on the model of your scanner.

Franking - The process of stamping a check processed through Check Capture. The stamp indicates that the check was electronically processed.

H

Highest Level Organization - The primary level of the organization hierarchy.

I

IBM Tivoli Identity Manager (ITIM) - Refers to FMS's Enterprise provisioning tool for user account and identity management.

Individual Reference Number (IRN) - The auto-generated unique number used in OTCnet to identify Check Capture transactions. **Input Length Maximum** - The maximum number of characters that may be entered in a user defined field.

Input Length Minimum - The minimum number of characters that may be entered in a user defined field.

Internal Control Number - A customizable field for agency use to further describe a deposit.

Item Detail Report - A report that contains the information about an individual item (check) associated with a batch. The report print-out will contain MICR information, data entered about the check, and an image of the check obtained during scanning.

Item Type - Indicates whether the check presented is a personal or business check. This determines whether the check is handled through Check 21 (non-personal) or FedACH (personal).

L

Local Accounting Specialist - A user who is an expert on the organizational structure, reporting needs and accounting rules for their depositing endpoint and its lower level OTC Endpoints. This role will establish and maintain the organizational structure, accounting code mappings to individual endpoints and the processing options that one or more lower level OTC Endpoints will use in OTCnet.

Local Security Administrator (LSA) - An agency or financial institution/federal reserve bank user who has authorization to maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. This user is also able to request and create users for the organization.

Local Verification Database (LVD) - A database (specific to the endpoint using OTCnet) that is downloaded from OTCnet and stored locally on the agencies network, which replicates the information found in the Master Verification Database (MVD).

Lower Level Organization - Any organization created below the highest level organization.

LVD Contents Report - A check processing business report that allows you to view the contents of a Local Verification Database (LVD) for a given OTC Endpoint.

M

Magnetic Ink Character Recognition (MICR) - Digital characters on the bottom edge of a paper check containing the issuing bank's ABA number and account number. The check number may also be included.

Master Verification Database (MVD) - It is an online database specific to the agency that maintains the agency hierarchy check cashing policy, information on bad check writers, and manually entered blocked items based on an agency's policy. Bad check information is accumulated in the MVD as agencies process checks through Check Capture. The MVD provides downloads of dishonored check information and blocked items via the Local Verification Database (LVD) on a daily basis.

MVD Editor - A user that has the authorization to view, edit, and download CIRA records, view verification records, and read blocked records containing only ABA permissions.

MVD Viewer - A user that has the authorization to view and download CIRA records, view verification records, and read blocked records containing only ABA permissions.

N

Non-Personal Item Type - Indicates that the name on check is an organization, or the check is a money order, traveler's check, or third-party check.

Non-Reporting OTC Endpoints Report - A business report that allows you to view OTC Endpoints that have not reported a deposit.

O

Open Batch Status - Indicates the batch is open and accepting new checks.

Organization - The location or level within a Federal Program Agency.

Organization Hierarchy - The structure of a Federal Program Agency as defined in OTCnet.

Organization Hierarchy Report - A check processing business report that allows you to view the target OTC Endpoint within the context of the current OTC Endpoint.

OTC Collections - Receipts that contain cash, checks, and/or money orders that are collected over-the-counter by organization endpoints in exchange for goods or services.

OTC Endpoint - The endpoint (location) that collects over-the-counter (OTC) receipts and deposits them to the Treasury's General Account.

OTC Endpoint (CHK) - The endpoint (location) setup in OTCnet to use check capture.

OTCnet Offline - Refers to the over the counter application that provides Check Capture functionality to end users with limited internet activity, and provides the capability to upload offline-captured batches to the Online OTCnet application for processing.

OTCnet Online - Refers to the web-based over the counter application that provides Check Capture, Check Processing and Deposit Processing functions to end users (that have constant internet activity).

OTC Endpoint (TGA) - The endpoint (location) setup in OTCnet to use Deposit Reporting. **OTC Endpoint Mapping** - The assignment of accounting codes to an agency's OTC Endpoint, for which a deposit amount can be allocated.

Over the Counter Channel Application (OTCnet) - Refers to the over the counter application that provide Check Capture and Deposit Reporting to end users.

P

Personal Item Type - Indicates that the name on check is an individual's name, not acting as a business.

Primary Local Security Administrator (PLSA) - An agency or financial institution/federal reserve bank user who has authorization to maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. This user is also able to request and create users for the organization.

Processing Options - User-defined parameters for the deposit and adjustment processes.

Processing Options by OTC Endpoints Report - A business report that allows you to view processing options defined for endpoints within the organization.

R

Received - The agency has sent this transaction through OTCnet. No settlement has been performed for this transaction yet.

Received Date - The date the check was received by web-based OTCnet.

Rejected - A deposit that is returned by a financial institution or FRB to the Deposit Preparer to create a new deposit.

Represented - This transaction was returned with a reason code that allows for another collection attempt to be made (see Appendix Chapter of the Participant User Guides for Reason Codes). Depending on an agency's policy, the item is reprocessed in an attempt to collect the funds from the check writer. Items with this status are in-process of collection.

Retired - This transaction was unable to be collected. The agency receives an SF5515 Debit Voucher Report with a debit processed to Debit Gateway, the effective date and debit voucher number. The offset to the agency's debit is an ACH return or a paper return (Check 21) received from the check writer's financial institution. This transaction cannot be processed again through OTCnet.

Return Reason Codes - Represent the numeric codes used in the ACH and paper return processing, which specify the reason for the return of the transaction and Check 21 codes.

Return Settlement Date - The effective date of settlement of the returned check item.

Returned Item - A check that was originally part of an OTCnet deposit but returned to the financial institution for non-sufficient funds, closed account, etc.

Routing Transit Number (RTN) - (also known as **American Bankers Association (ABA) Number** or **Bank Routing Number**) - The nine-digit number used to identify a Financial Institution.

S

Save as Draft - An option that allows a Deposit Preparer to save a deposit for modification at a later date.

Save for Approval - An option that allows a Deposit Preparer to save a deposit for a Deposit Approver to submit to a financial institution.

Separation of Duties - A concept used to ensure there are typically separate personnel with authority to authorize a transaction, process the transaction, and review the transaction.

Settle Best Method - The option that allows OTCnet to decide the best settlement method for personal and non-personal checks. **Settled** - This transaction is complete and the funds have been credited to the agency's Treasury General Account. The effective date of the deposit and the SF215 Deposit Ticket Report deposit ticket number are provided.

Settlement Date - The date the deposit is credited to the Treasury General Account.

SF215 Deposit Ticket Report - The report presented to a financial institution by a U.S. government agency with checks and other payment instruments to make a manual deposit. This report is manually generated for Deposit Reporting and auto-generated for Check capture. The report is available in OTCnet for 45 calendar days.

SF5515 Debit Voucher Report - The report used to debit the Treasury General Account (TGA) to decrease the amount of a deposit made to that account. This report is manually generated for Deposit Reporting and auto-generated for Check capture. The report is available in OTCnet for 45 calendar days.

Short Name/Code - The user-defined text describing an organization. Short Names/Codes must be unique within an organization hierarchy.

Submit - An option that allows a Deposit Approver to submit a deposit to a financial institution.

Submitted - A deposit that is submitted and waiting deposit confirmation by a Deposit Confirmer.

Suspend - Indicates that an individual's record is set to a predetermined suspension period. During this time, OTCnet prevents an individual from processing a check through OTCnet. The individual's database record has a Trade Status of Suspend and the expiration date is set until a specific date.

T

Terminal ID - The unique number assigned to the workstation where a user performs functions in OTCnet.

Trade Status - Represents the status of the verification records. There are four 4 possible trade statuses in the system: Blocked, Denied, Suspended, and Cleared. The Trade Status D-Suspended or D-Denied is assigned to auto generated Dynamic records.

Transaction History - Defines the time range that a Deposit Confirmer will be able to view the historical deposit transactions for his or her financial institutions. For example, if the transaction history is set at 45 days, the Deposit Confirmer will be able to view all the deposits that he or she has confirmed for the past 45 days.

Transaction Reporting System (TRS) - A collections reporting tool, supplying the latest information on deposits and detail of collections transactions to federal agencies. The system will allow financial transaction information from all collections systems and settlement mechanisms to be exchanged in a single system.

Treasury Account Symbol (TAS) - The receipt, expenditure, appropriation, and other fund account symbols and titles as assigned by Treasury.

U

Universal Serial Bus (USB) - A connection port on a computer that is universally compatible with many types of devices, such as printers, speakers, mouse, flash drives, etc.

US Dollar Equivalent (USE) - The deposit amount, in United States currency, which is equal to the foreign currency for which it is being exchanged.

US Treasury - The executive department and the Treasury of the United States federal government.

User Defined Field (UDF) - A user-defined text that describes deposit activity or deposit accounting activity.

User Information Report - A security report allows that you to view a user's contact information.

Users by Access Group (FI) Report - A security report that allows you to view users by financial institution. **Users by Access Group (FPA) Report** - A security report that allows you to view users by OTC Endpoint.

Users by Role (FI) Report - A security report that allows you to view users by role for your financial institution. **Users by Role (FPA) Report** - A security report that allows you to view users by role for your OTC Endpoint.

V

View CA$HLINK II File Status Report - An administration report that allows you to view status of deposit report files that have been processed by CA$HLINK II or are ready for CA$HLINK II to process.

View FRB CA$HLINK File Status Report - An administration report allows you to view the status of deposit files that have been sent to FRB CA$HLINK.

View TRS File Status Report - An administration report allows you to view the status of TRS files that have been processed by Transaction Reporting System (TRS) or are ready for TRS to process.

View Vouchers Completed Report - An administration report allows you to view the status of deposit and adjustment vouchers that have completed processed through the FI System To System Interface in the past 36 hours.

View Vouchers in Progress Report - An administration report allows you to view the status of deposit and adjustment vouchers in progress.

Viewer - A user who has authorization to view OTCnet information and produce reports from it.

Voucher Date - The financial institution business date a deposit will be presented or the calendar date the deposit will be mailed to the financial institution.

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